

Fig. 1

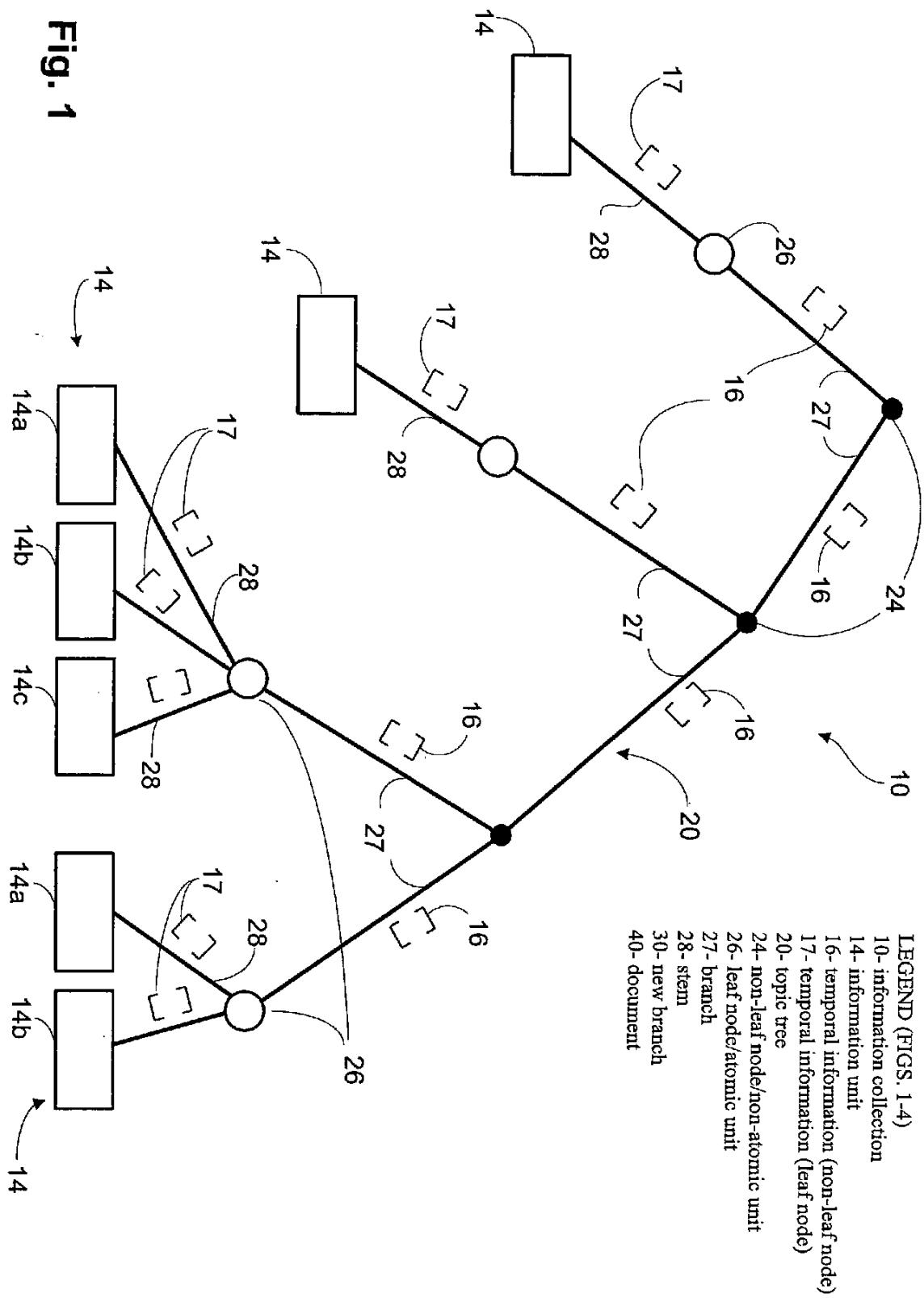


Fig. 1A

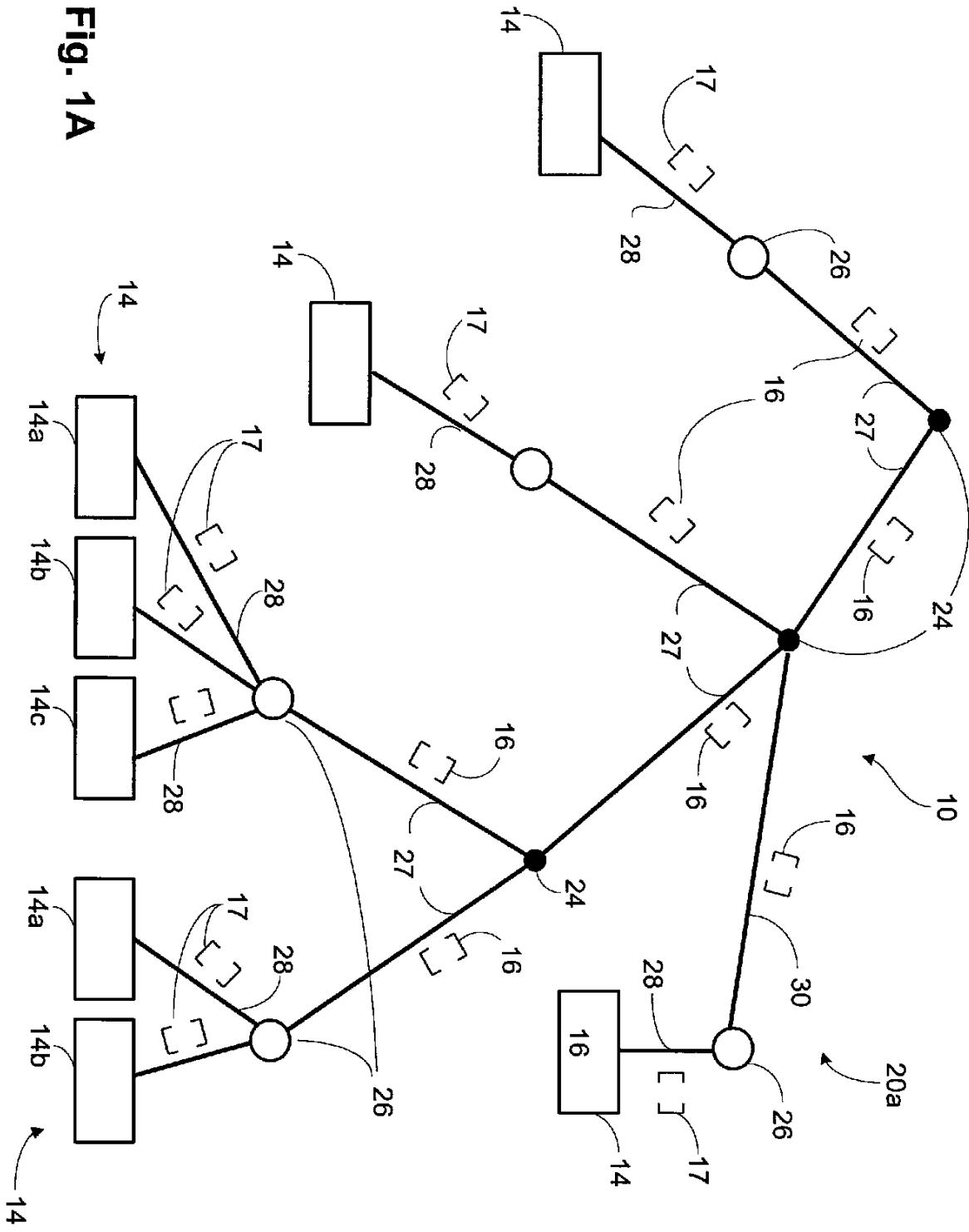
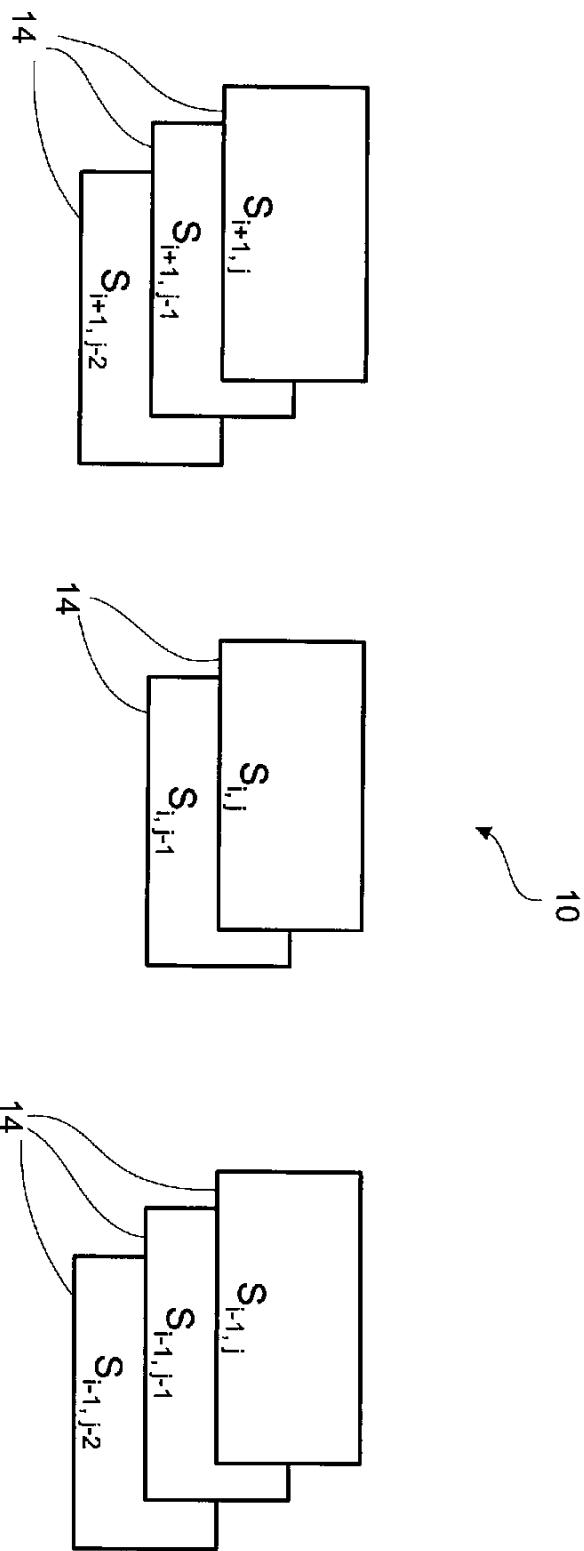


Fig. 2A



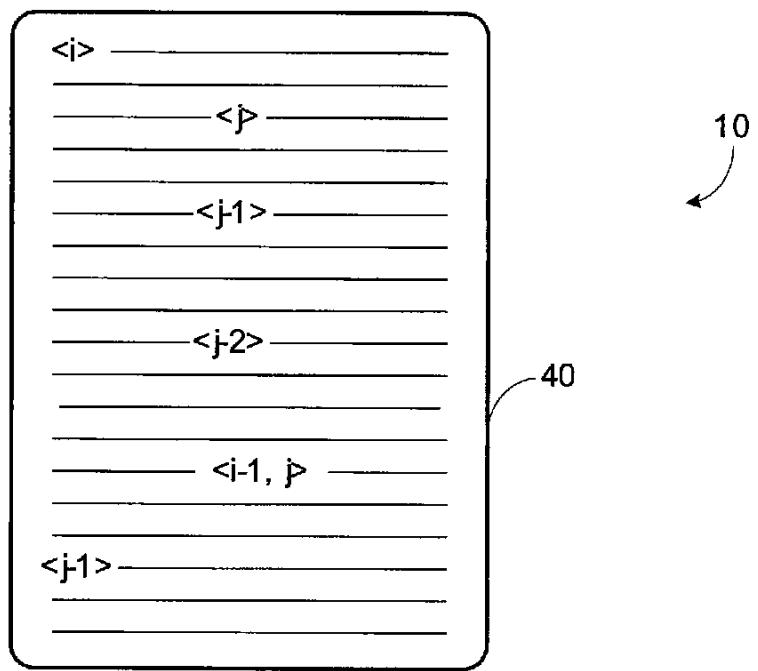


Fig. 2B

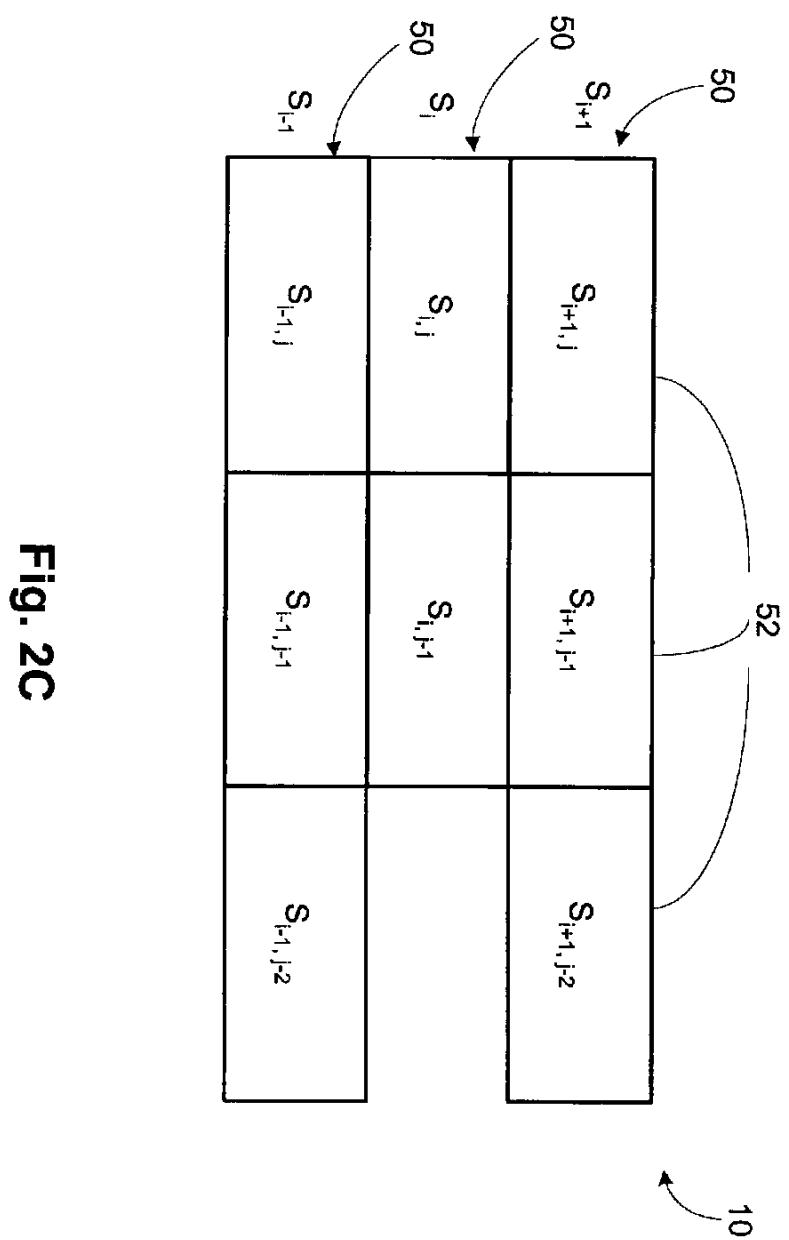


Fig. 2C

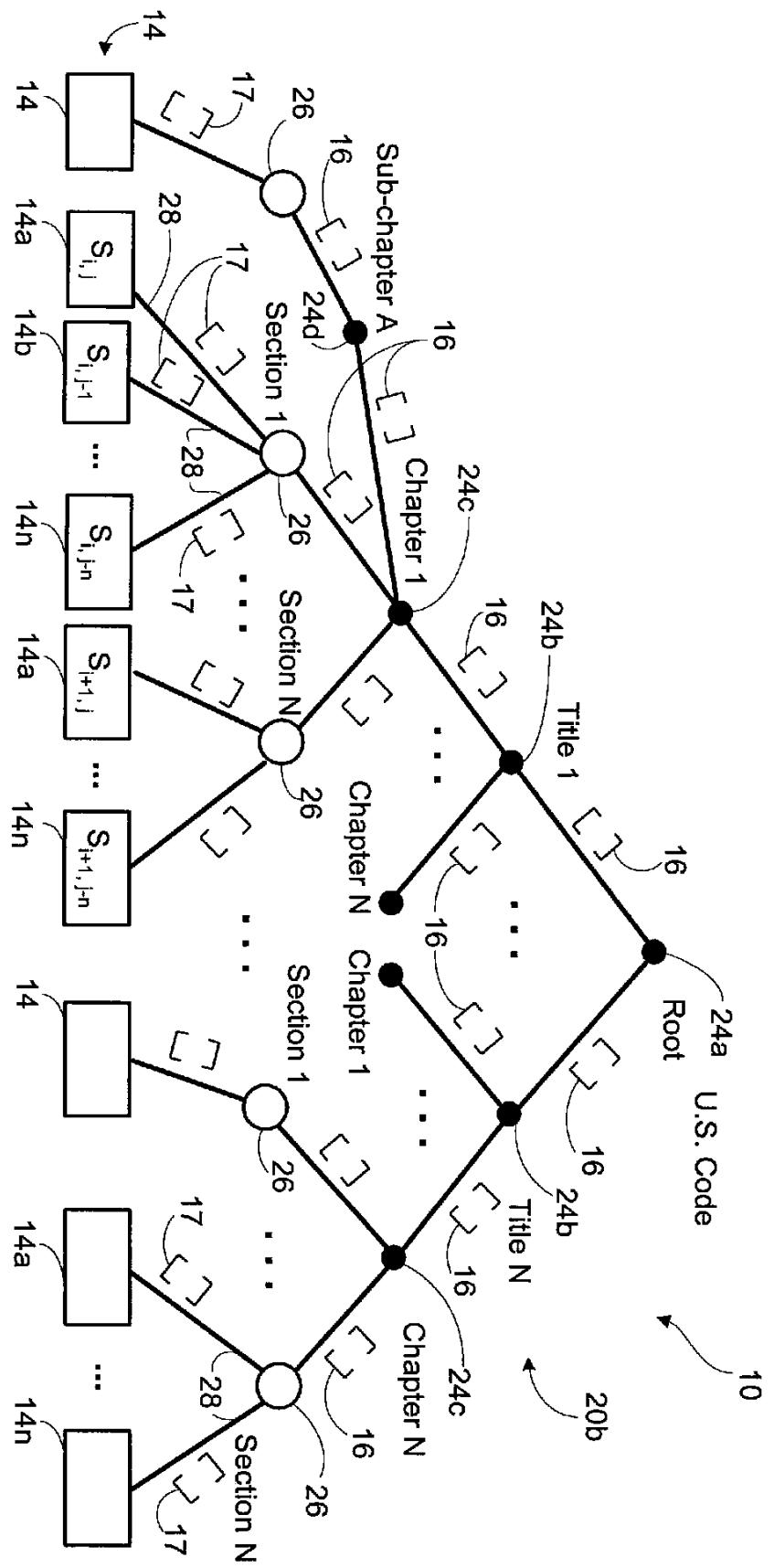


Fig. 3

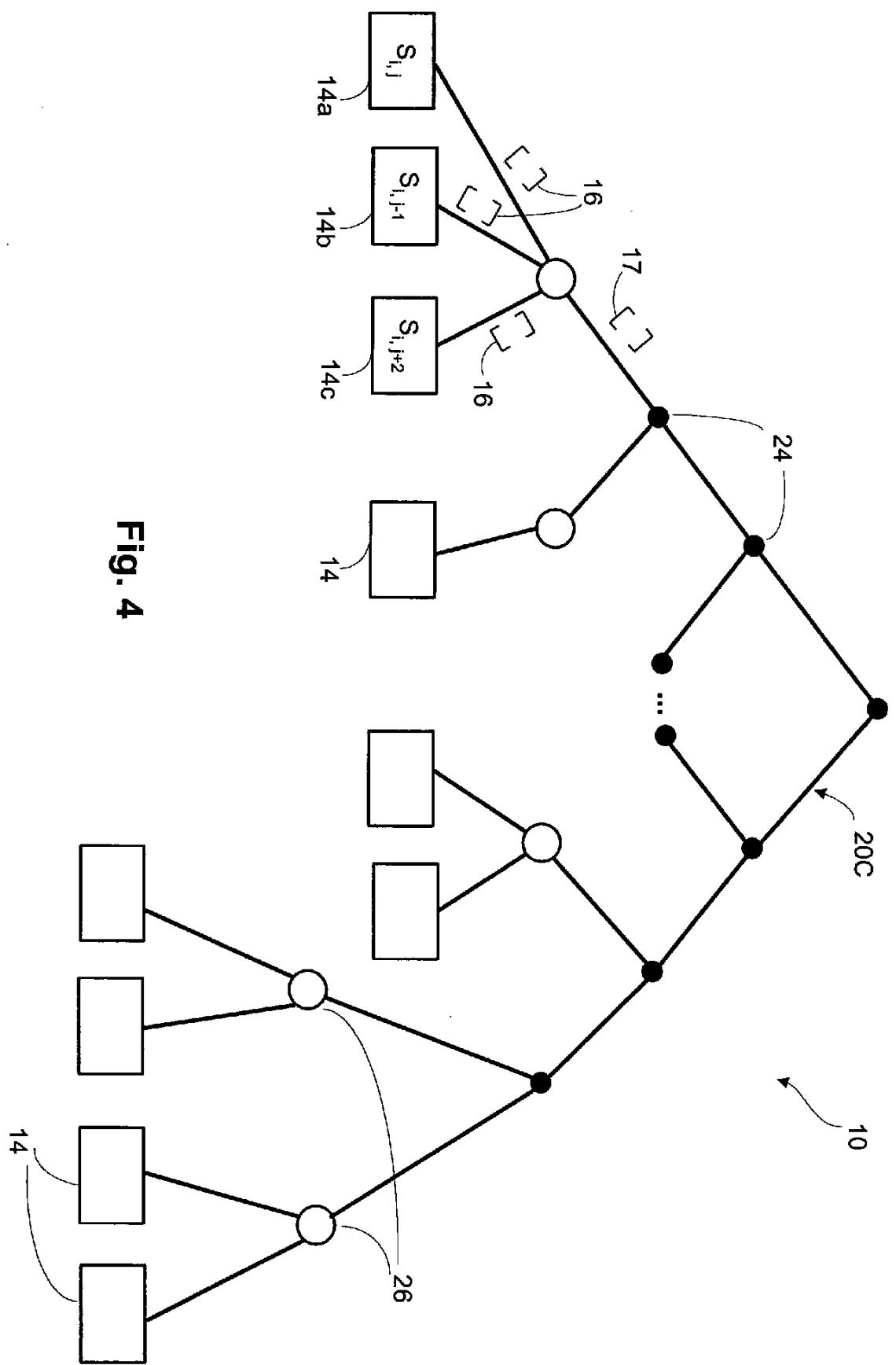


Fig. 4

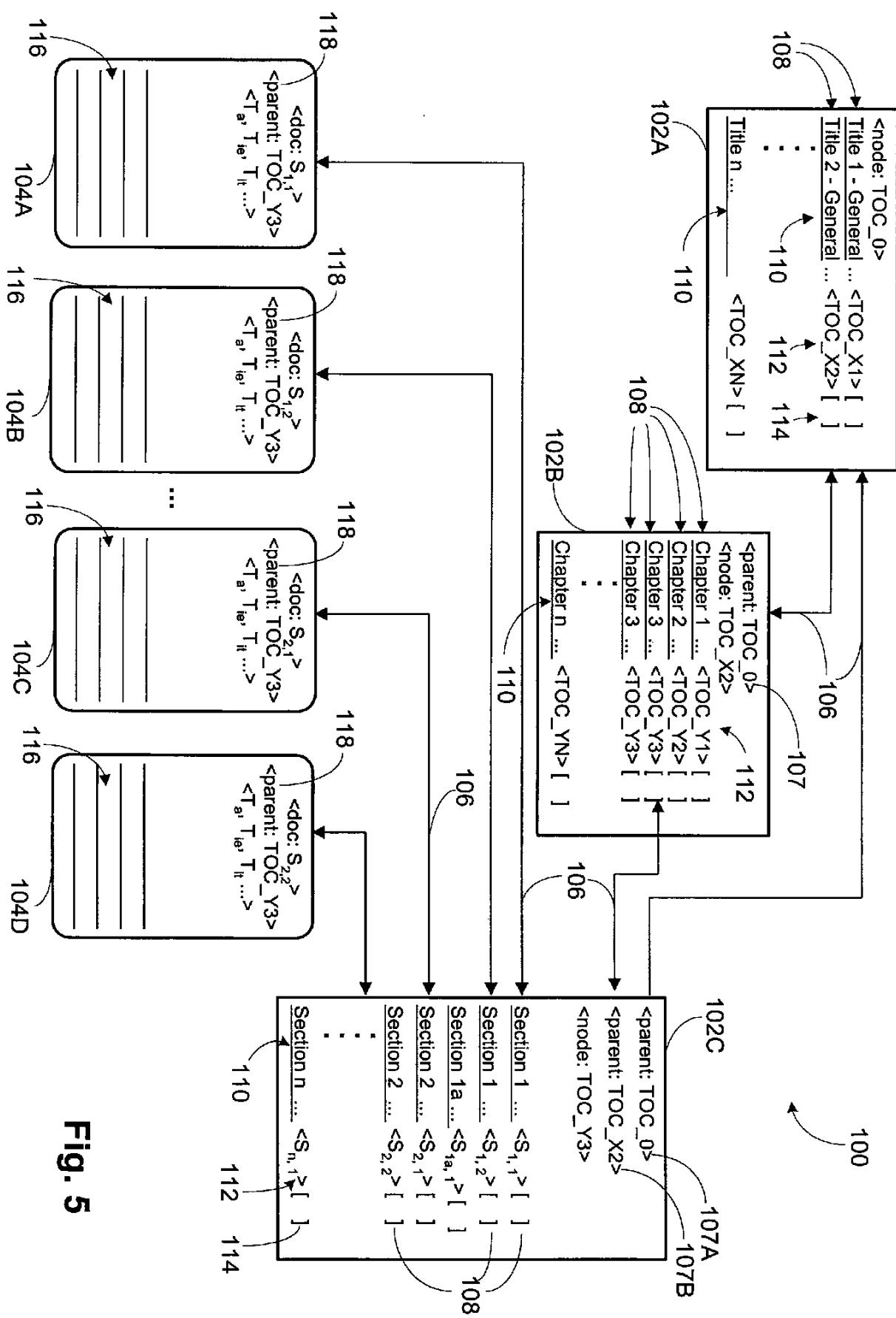
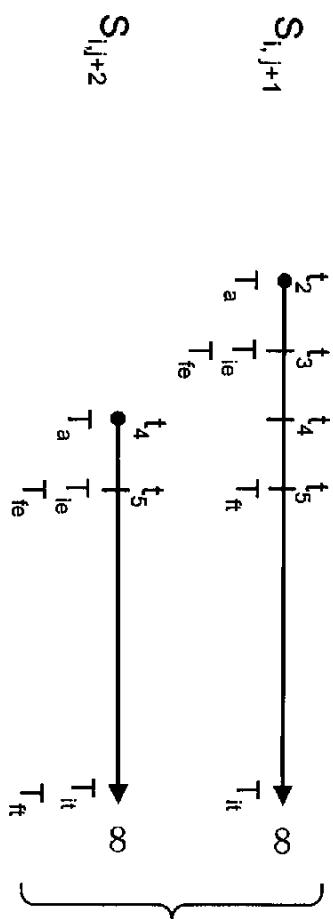
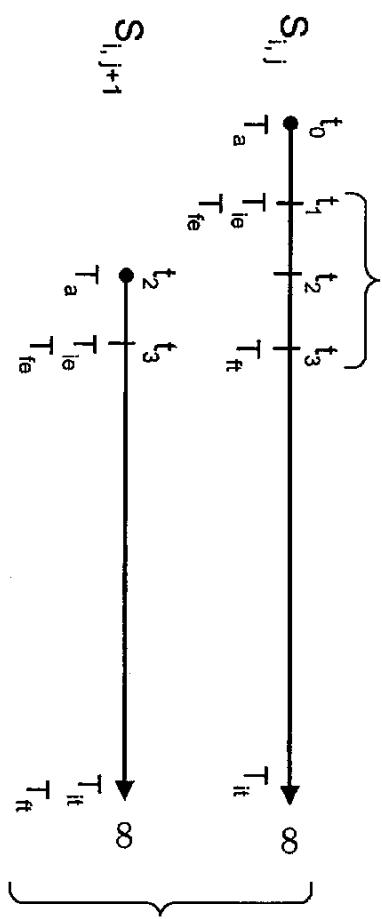


Fig. 5



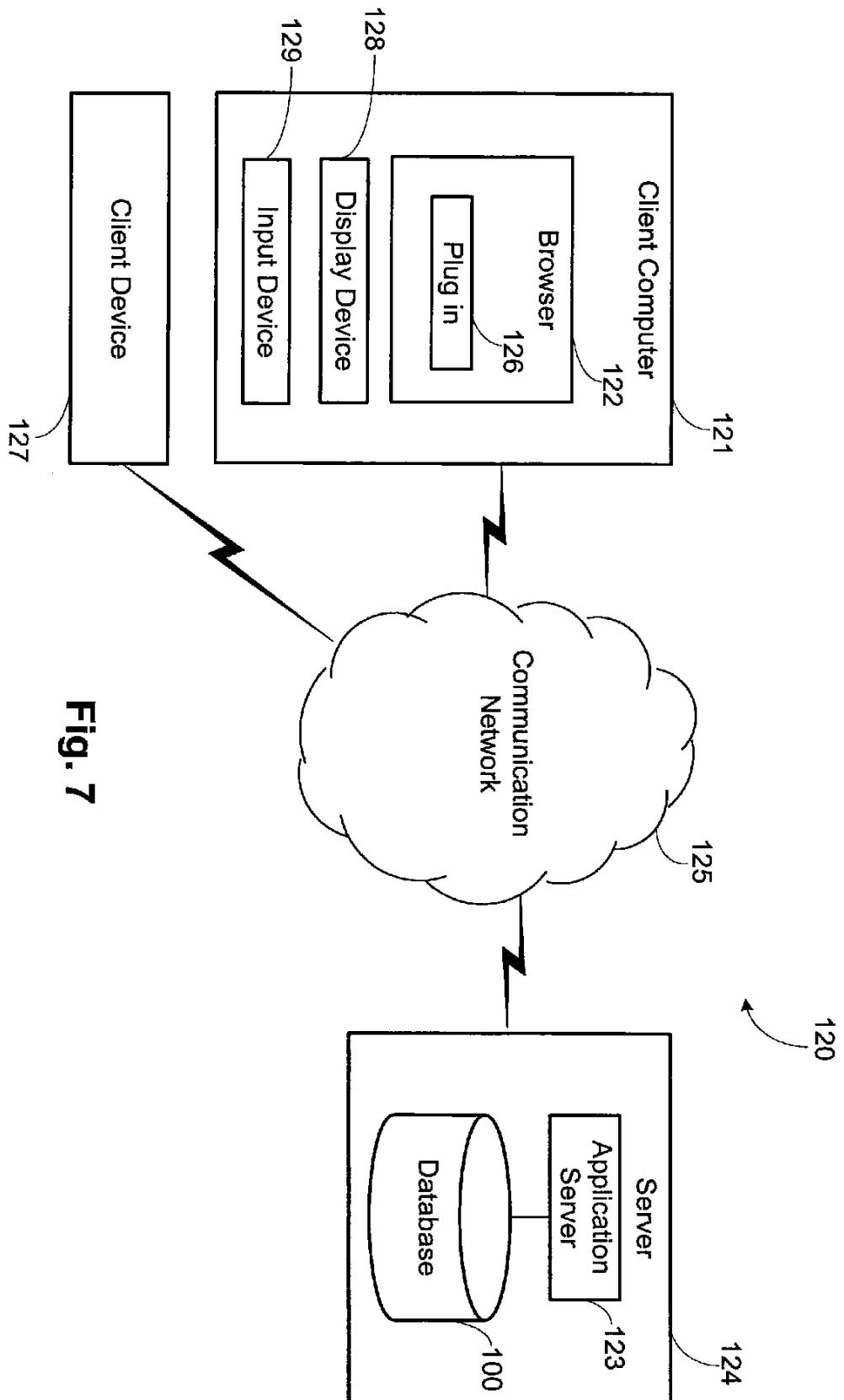


Fig. 7

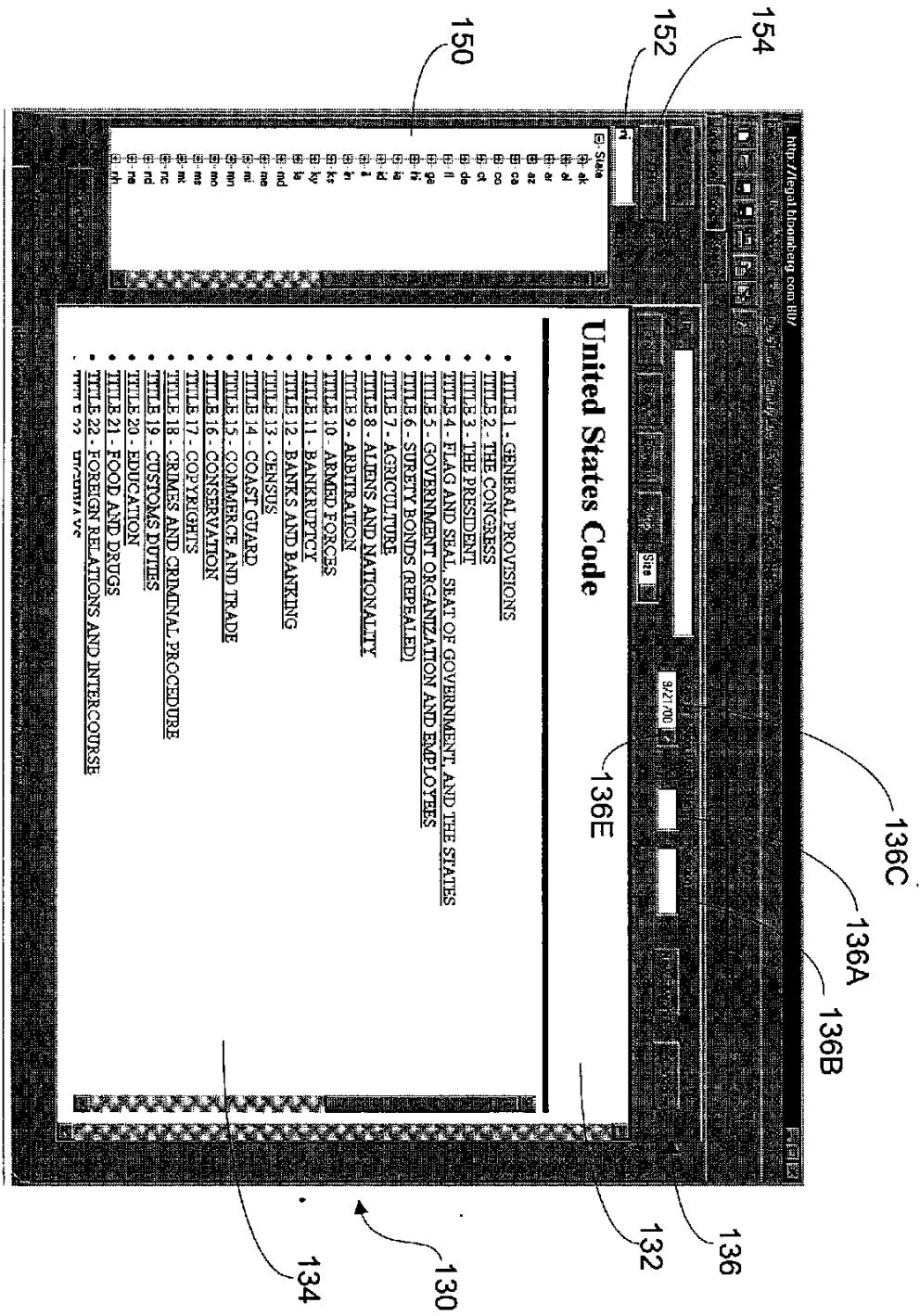
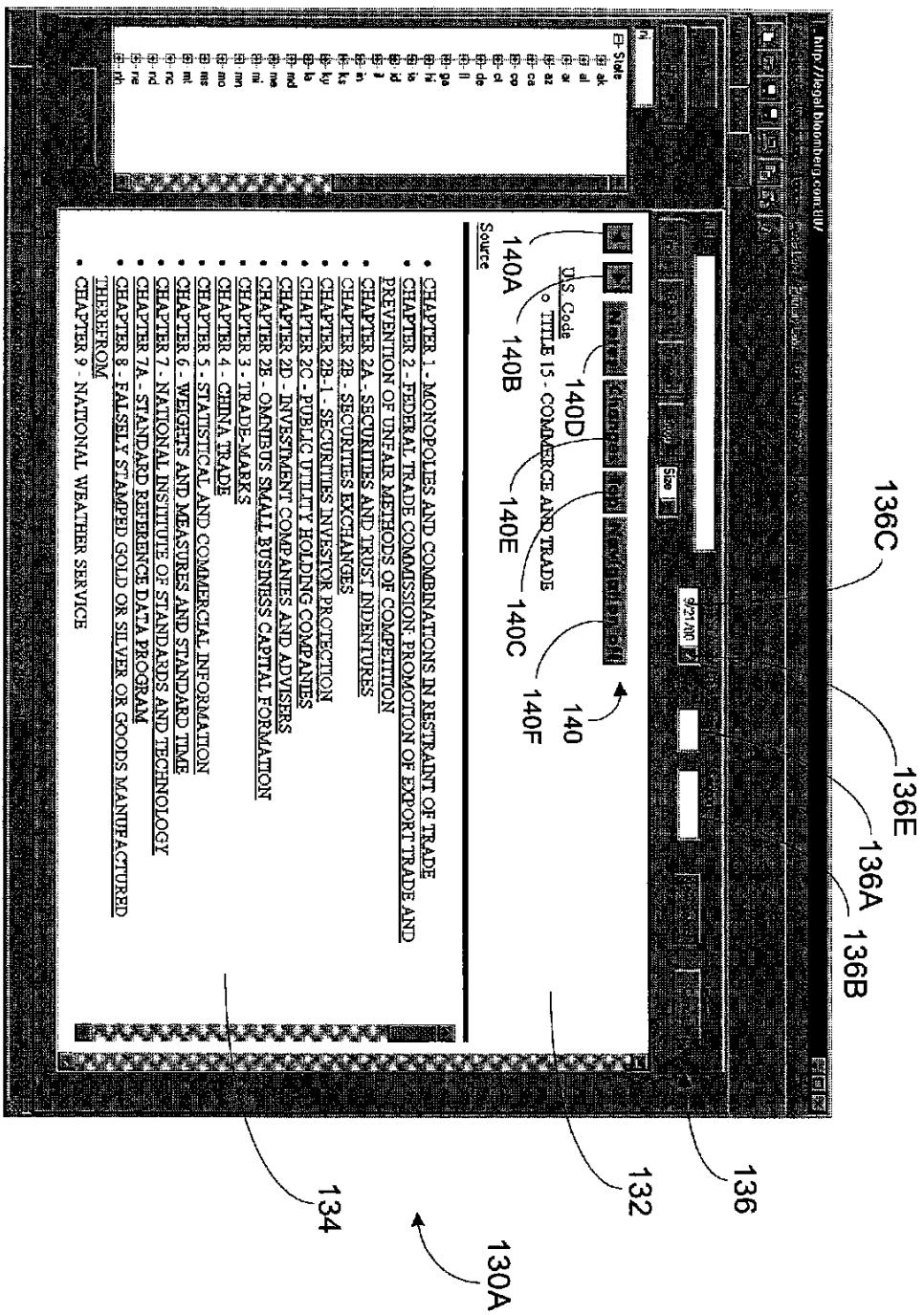


Fig. 8

Fig. 9



136C 136E 136A 136B

http://Legal.bloomberg.com:807/

136

140

U.S. Code
TITLE 15 - COMMERCE AND TRADE
■ CHAPTER 2B - SECURITIES EXCHANGES

Source

- Sec. 78a. Short title
- Sec. 78b. Necessity for regulation
- Sec. 78c. Definitions and application
- Sec. 78d. Securities and Exchange Commission
- Sec. 78d-1. Delegation of functions by Commission
- Sec. 78d-2. Transfer of functions with respect to assignment of personnel to chairman
- Sec. 78e. Transactions on unregistered exchanges
- Sec. 78f. National securities exchanges
- Sec. 78g. Margin requirements
- Sec. 78h. Restrictions on borrowing and lending by members, brokers, and dealers
- Sec. 78j. Manipulation of security prices
- Sec. 78l. Audit requirements
- Sec. 78k. Trading by members of exchanges, brokers, and dealers
- Sec. 78k-1. National market system for securities; securities information processors
- Sec. 78l. Registration requirements for securities
- Sec. 78l-1. Abbreviations for unlisted trading vehicles defined under section 78l of this title

130B

134

Fig. 10

136C 136E 136A 136B

http://legal.bloomberg.com/H/

136

140

140A
140B
15 USC 78b (Bloomberg 1999)

Sec. 78b. Necessity for regulation.

For the reasons hereinabove enumerated, transactions in securities as commonly conducted upon securities exchanges and over-the-counter markets are affected with a national public interest which makes it necessary to provide for regulation and control of such transactions and of practices and matters related thereto, including transactions by officers, directors, and principal security holders, to require appropriate reports to remove impedimenta to and perfect the mechanism of a national

market system for securities and a national system for the clearance and settlement of securities transactions and the safeguarding of securities and funds related thereto, and to impose requirements necessary to make such regulation and control reasonably complete and effective, in order to protect interstate commerce, the national credit, the Federal taxing power, to protect and make more effective the national banking system and Federal Reserve System, and to insure the maintenance of fair and honest markets in such transactions:

(1) Such transactions (a) are carried on in large volume by the public generally and in large part originate outside the States in which the exchanges and over-the-counter markets are located and/or are effected by means of the mails and instrumentalities or interstate commerce; (b) constitute an important part of the

130C

134

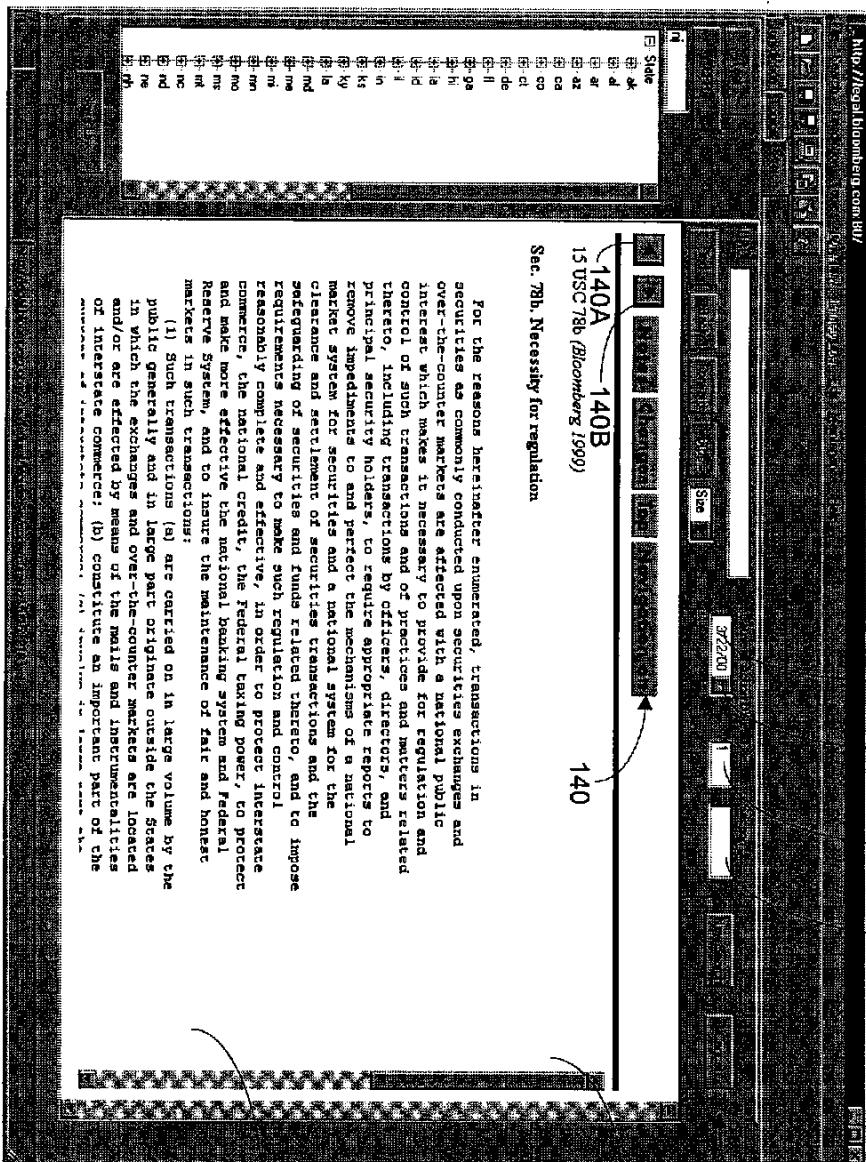


Fig. 11

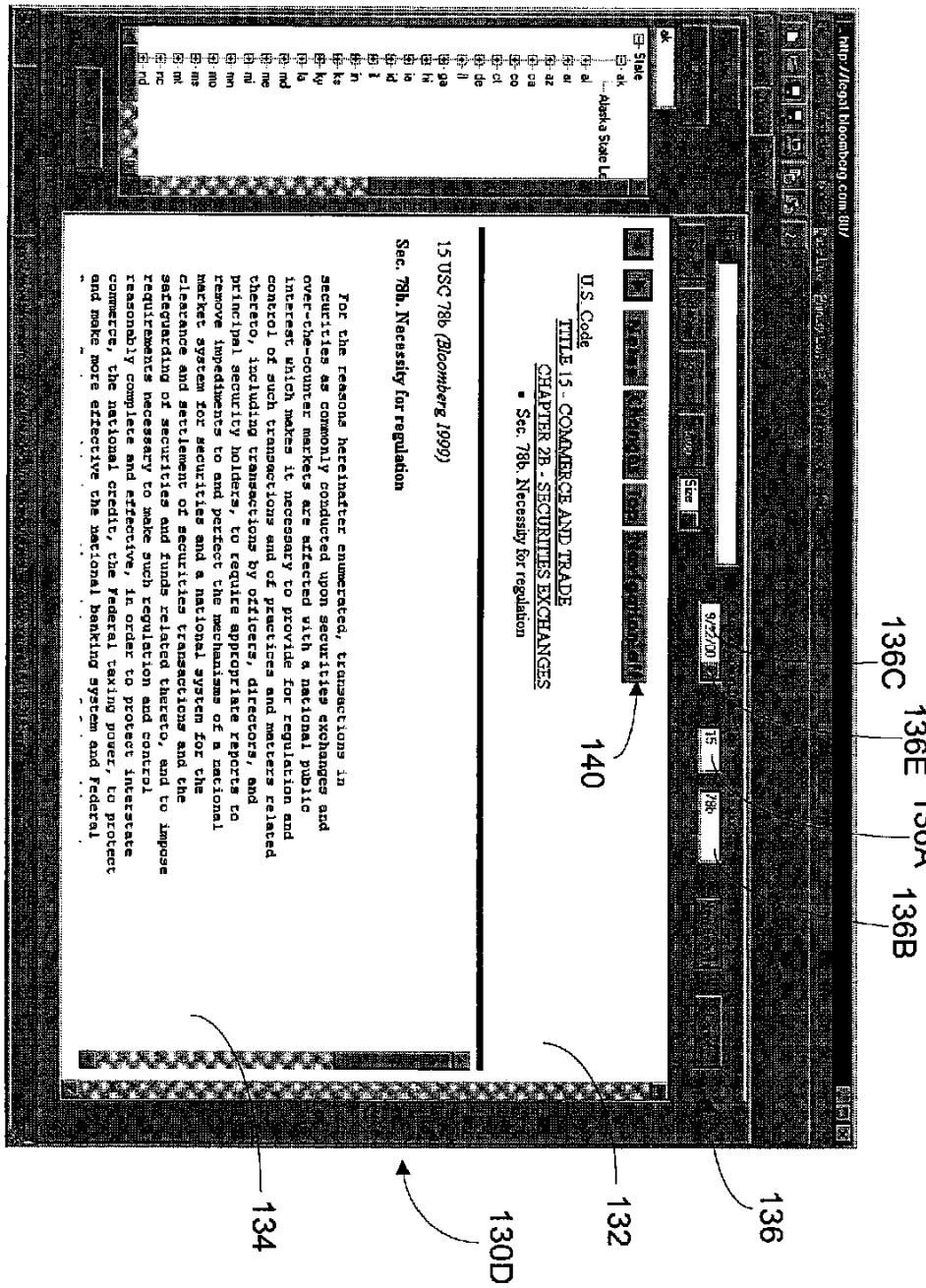


Fig. 12

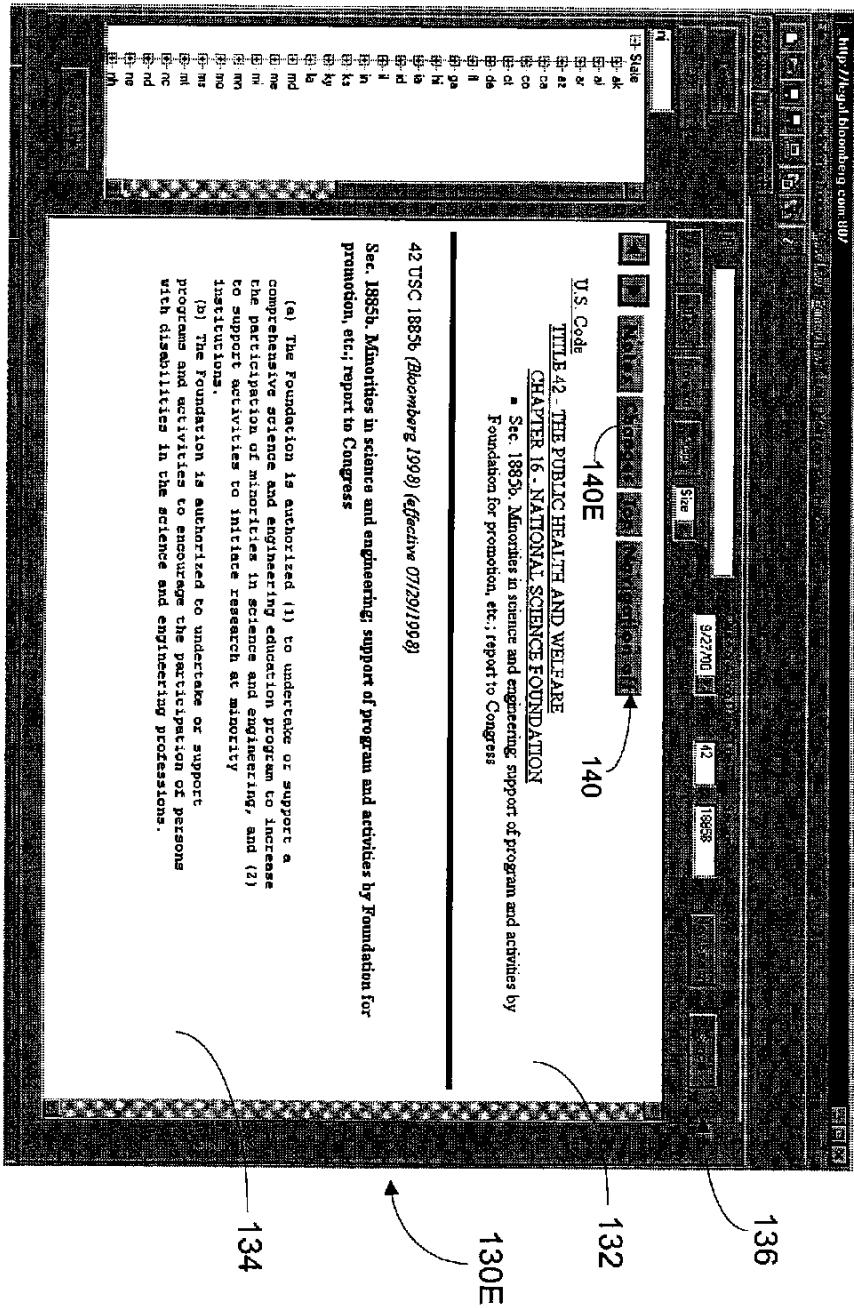


Fig. 13

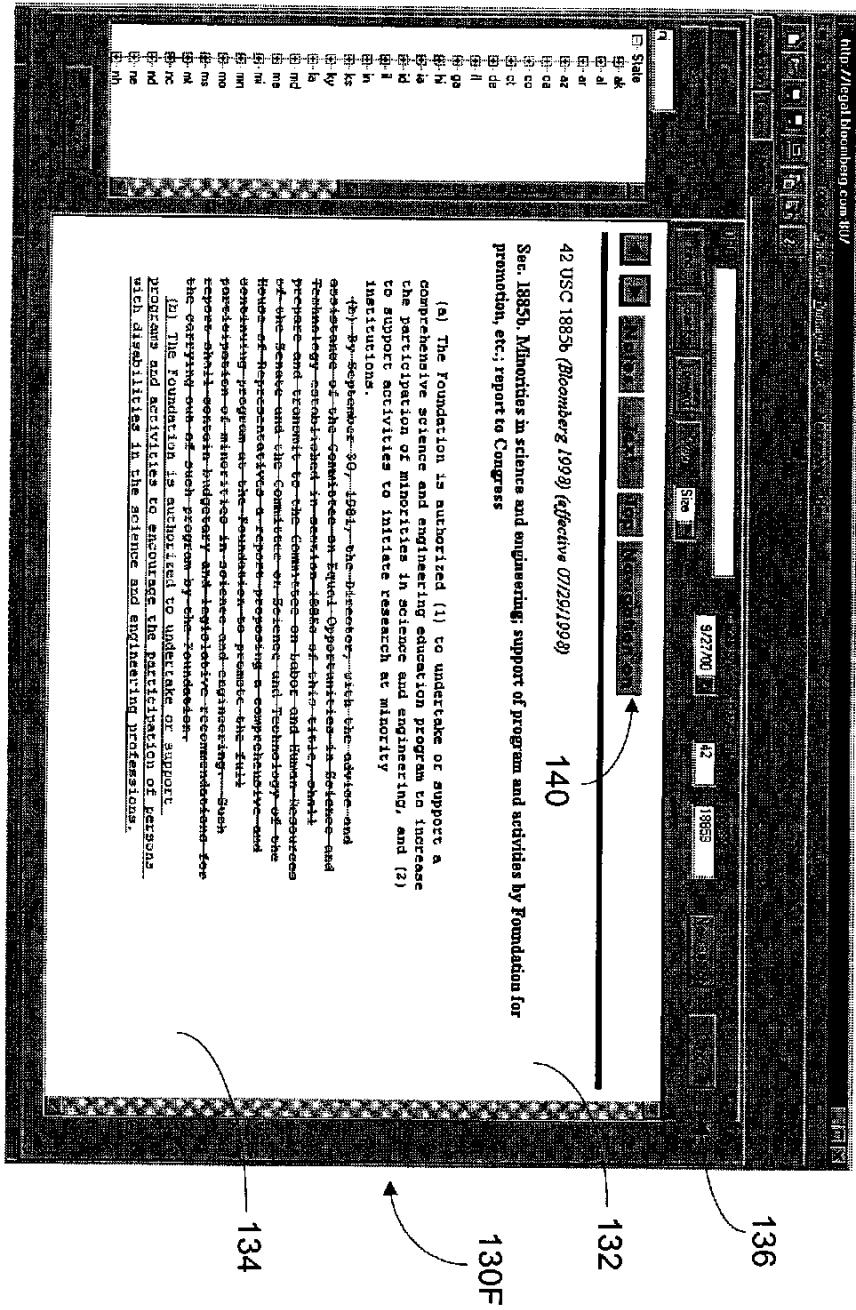


Fig. 14

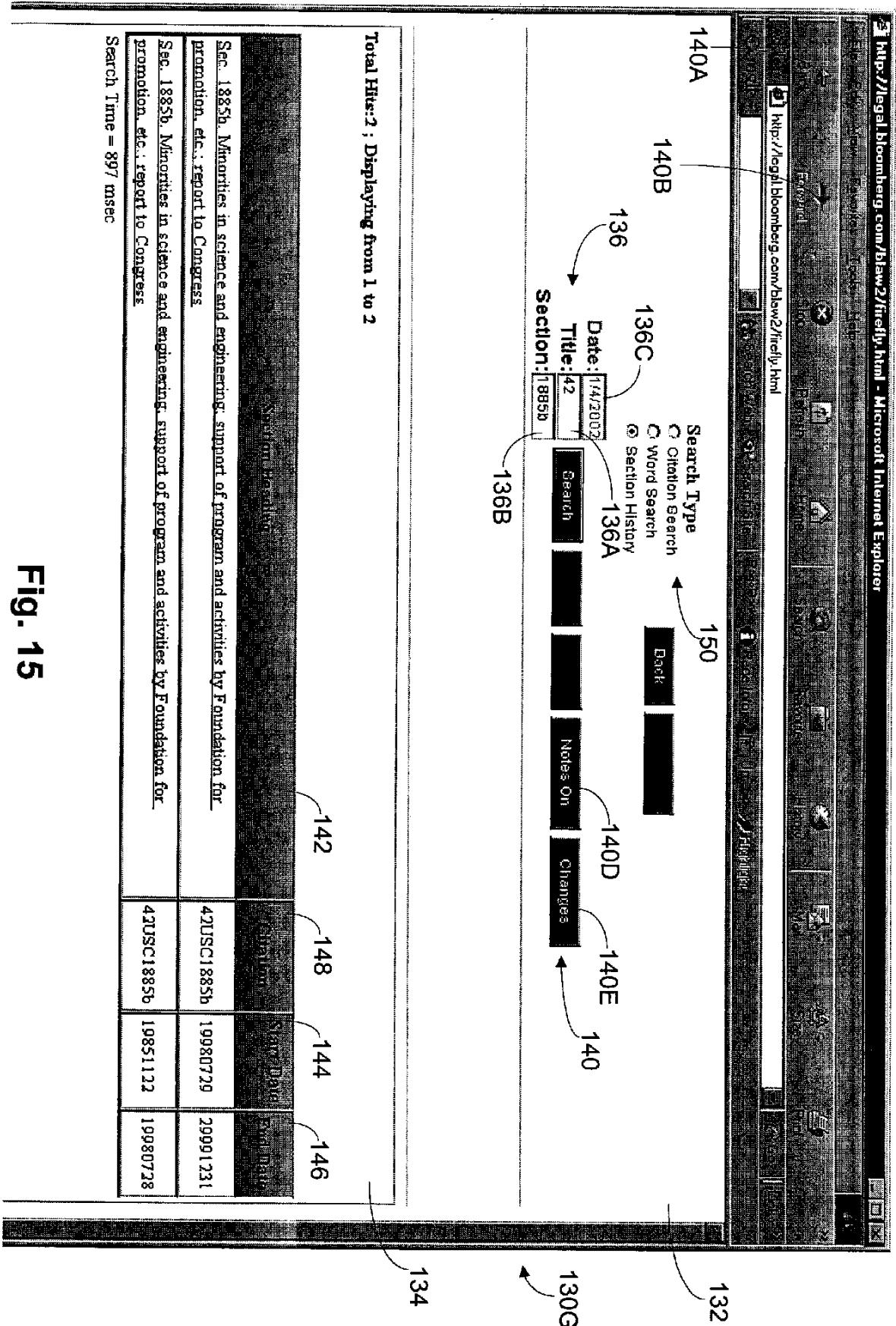


Fig. 15

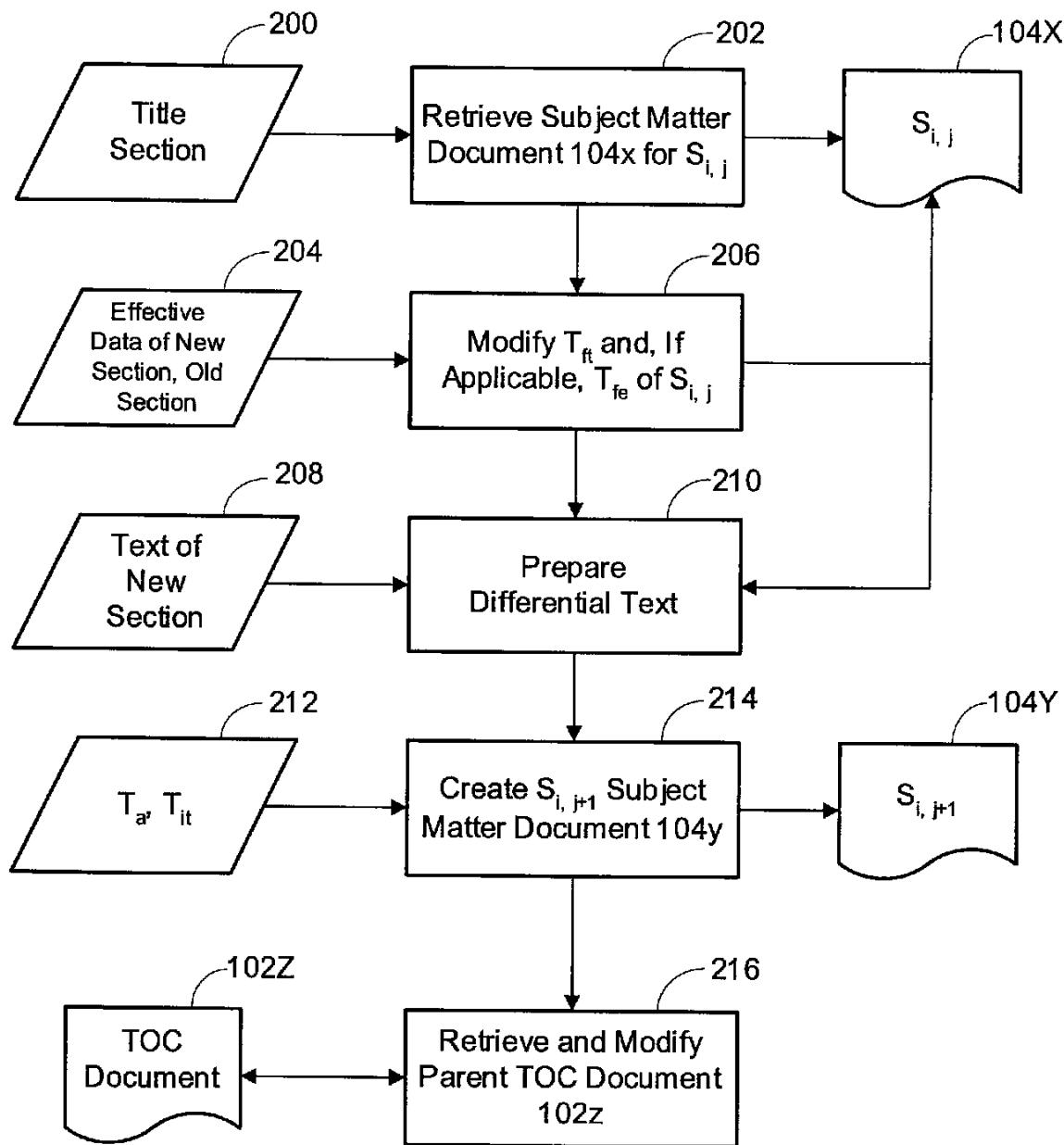


Fig. 16

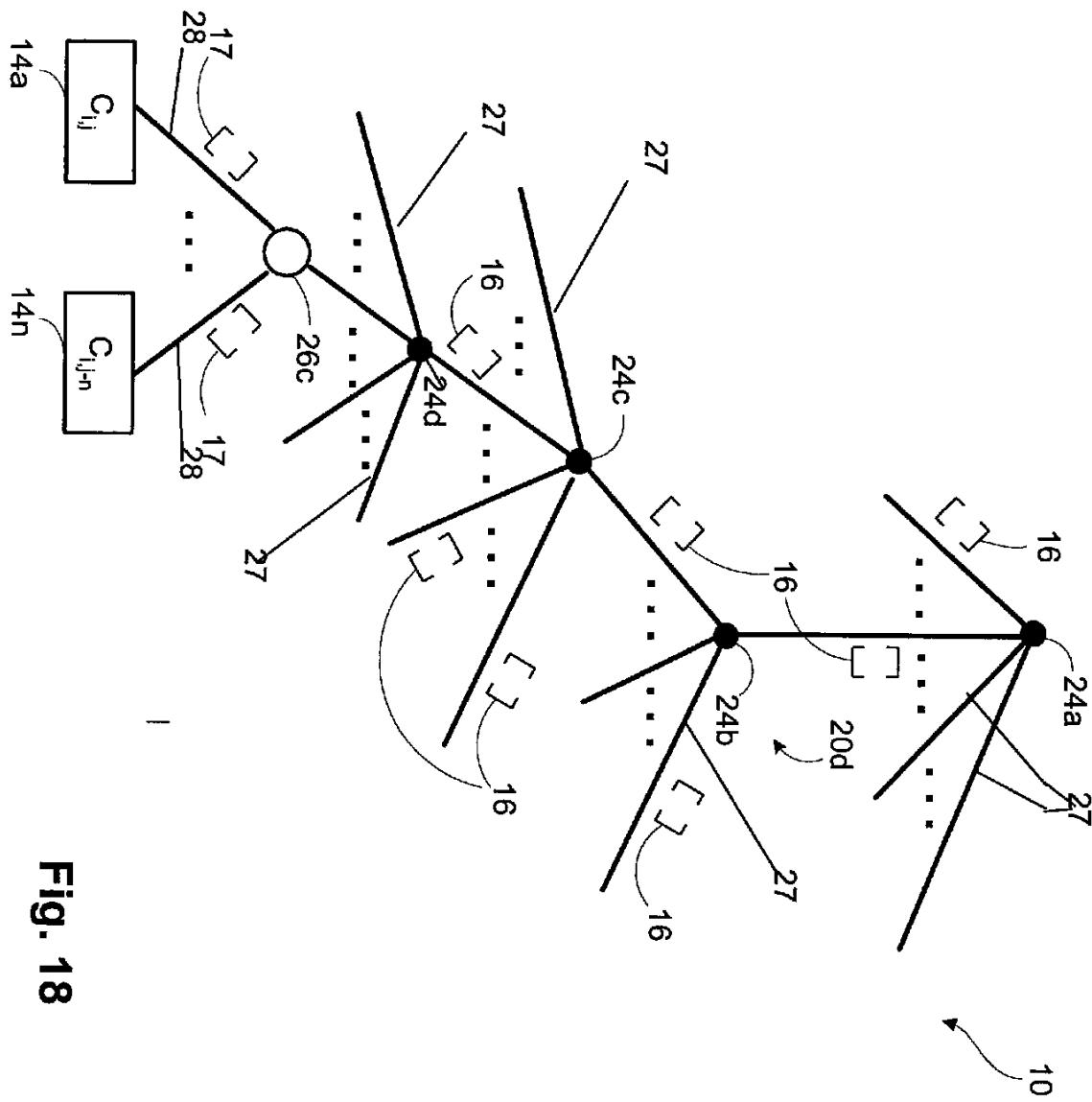


Fig. 18